



Important Notice
National Securities Clearing Corporation

A#:	7634
P&S #:	7204
Date:	05/10/2013
To:	ALL PARTICIPANTS
Attention:	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
From:	ADREAN HINOJOSA, ACCOUNT ADMINISTRATION
Subject:	CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will retire from all services, as detailed below:

Last Trade Date, May 14, 2013:

VP Distributors, Inc.

No. 5517

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following firm will begin participation in the Fund/SERV, Networking, DTCC Payment aXis, MF – Profile, Omni/SERV Activity & Position, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, May 15, 2013:

VP Distributors, LLC

No. 5517

Networking Symbol:

PH

Contact: Heidi Griswold

Phone: (413) 775-6020

- The following firm will retire from all services, as detailed below:

Last Trade Date, May 14, 2013:

VP Distributors, Inc./VVIT Series

No. 3764

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following firm will begin participation in the Fund/SERV, Networking, DTCC Payment aXis, MF – Profile and ACATS Fund/SERV services, as detailed below:

First Trade Date, May 15, 2013:

VP Distributors, LLC/ VVIT Series

No. 3764

Networking Symbol:

28

Contact: Heidi Griswold

Phone: (413) 775-6020

- The following firm will retire from all services, as detailed below:
Last Trade Date, May 17, 2013:
 Invesco Distributors, Inc./Aim Global Advisors Ltd No. 4882
- The following firm will no longer participate the MF – Daily Price and Rate service, as detailed below:
Last Trade Date, May 16, 2013:
 Massachusetts Mutual Life Insurance Co/Fund Operations No. 4534
- The following firm will begin participation in the Insurance Processing Service, as detailed below:
First Trade Date, May 9, 2013:
 Kalos Capital, Inc No. 6926
- The following additional numbers have been assigned to Arbor Court Capital LLC (#7023) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:
First Trade Date, May 13, 2013:
 Arbor Court Capital LLC/CCA Investments Trust No. 7099
 Networking Symbol: 38
 Contact: Scott Joers
 Phone: (414) 905-5434

First Trade Date, May 13, 2013:
 Arbor Court Capital LLC/Tea Leaf Management Investment Trust No. 7106
 Networking Symbol: 47
 Contact: Scott Joers
 Phone: (414) 905-5434
- The following additional number has been assigned to BHIL Distributors, Inc. (#6532) for the purpose of utilizing Fund/SERV, Networking, ACATS Fund/SERV and ACATS services, as detailed below:
First Trade Date, May 15, 2013:
 BHIL Distributors, Inc./AIT Global Emerging Markets Opportunity Fund No. 7091
 Networking Symbol: ZE
 Contact: Joe Pakovits
 Phone: (312) 557-6620
- The following additional number has been assigned to Van Eck Securities Corporation (#5524) for the purpose of utilizing Fund/SERV, Networking, and MF – Daily Price & Rate services, as detailed below:
First Trade Date, May 16, 2013:
 Van Eck Securities Corporation/Van Eck Switzerland AG No. 7070
 Networking Symbol: V5
 Contact: John Wolfe
 Phone: (212) 293-2020

- The following additional number has been assigned to State Street Bank And Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, May 20, 2013:

State Street Bank & Trust Company/Hewitt Associates/AHRP	No. 7097
Networking Symbol:	26
Contact: Belynda Crick	
Phone: (617) 662-6013	

- Please update the NSCC Directory dated May 2013 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Add First Trade Date, May 7, 2013

The Oak Ridge Financial Services Group, Inc.

0235	OAKR
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Add First Trade Date, May 8, 2013

BMA Securities

LGNT	0052	BMAC
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- Please update the NSCC Directory dated May 2013 (for OTC Executed-By List) as detailed below:

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, May 3, 2013

Aegis Capital Corporation

BSSC	0352	AGCC
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Delete Last Trade Date, May 6, 2013

Corinthian Partners, LLC

AEB Corporation

PERS	0443	CRTH
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PERS	0443	AEBC
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Delete Last Trade Date, May 8, 2013

UNX Inc.

Direct Access Partners LLC

SILK	0501	UNEX
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SILK	0501	DAPG
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Delete Last Trade Date, May 10, 2013

Direct Access Partners LLC

PERS	0443	DAPL
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- Please update the NSCC Directory dated May 2013 (for Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Add First Trade Date, May 9, 2013</u>				
TFS Securities, Inc.	PERS	0443	TFSS	

If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.